



National Aeronautics
and Space Administration

July 1, 2002
CAN 02-OSS-01

Cooperative Agreement Notice

Lunar and Planetary Institute (LPI)

Soliciting Proposals for the
Lunar and Planetary Institute
(LPI)

Notice of Intent Due:
Proposals Due:

July 24, 2002
September 4, 2002

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Cooperative Agreement Notice

**Solar System Exploration Division
National Aeronautics and Space Administration
Washington, DC 20546-0001**

Lunar and Planetary Institute (LPI)

1.0 Introduction

This NASA Cooperative Agreement Notice (CAN) solicits proposals for a single domestic academic institution or a not-for-profit or a consortium of such entities with a clear lead institution or organization to continue the operation of the Lunar and Planetary Institute (LPI). In cooperation with NASA, LPI is chartered to study the formation, evolution, and current state of the Moon, planets, and the solar system, and for planning and participating in the exploration of the Moon, Mars, and other bodies of the solar system. The operation of this facility provides an academic atmosphere that serves as a focal point for lunar and planetary science activities and as a forum to encourage participation of eminent scientists from the United States and other countries in solar system exploration programs and in education and public outreach. Although managed by and as an independent entity, the institute's NASA affiliation is one of its essential characteristics. The planned maximum period of this agreement is 10 years. The initial award will cover a 5-year period with renewal provision for an additional 5 years.

The main purpose of LPI is to maintain the essential research and exploration leadership capability in planetary science and to foster greater involvement of the science community in the accomplishment of NASA's Solar System Exploration goals. LPI provides a focus and point of entry for scientists from across the Nation and around the world to access the samples housed in the Curatorial Facility at the NASA Johnson Space Center (JSC), as well as access to analytical facilities of the JSC laboratories. LPI provides a vehicle by which universities and other research organizations may cooperate with one another and with NASA to develop knowledge associated with planetary science and technology, develop the planetary programs, and support planetary education programs to provide an unparalleled pool of tools and dedicated people to support the fulfillment of Solar System exploration goals outlined in NASA's Solar System Exploration Strategic Plan (accessed on the Office of Space Science homepage at <http://spacescience.nasa.gov>) .

LPI is an integral part of NASA's Solar System Exploration Division's plan to provide a unique facility for the study of our solar system to support the NASA Solar System exploration Strategic plan. NASA intends to use this facility to foster and enhance research and other activities involved in the solar system exploration programs.

Detailed information for preparing a proposal in response to this CAN, along with sample forms and certifications required for submission, are included in the following appendices:

Appendix A: Proposal Preparation Instructions to Offerors

Appendix B: Cost Proposal Instructions

Appendix C: Proposal Submission Information

Appendix D: Certifications and Assurances

2.0 Roles and Responsibilities

2.1 Institute

The objective of the institute is to provide independent intellectual leadership to enable world-class lunar and planetary research and other activities to:

- Provide an academic and scholarly atmosphere that attracts scientists and serves as a focal point for lunar and planetary science activities, with special emphasis placed on providing expertise in astromaterials, and provide a forum to encourage participation of eminent scientists from the United States and other countries in solar system exploration programs;
- Conduct and enable directed research studies on the formation, evolution and current state of the Moon, planets, comets, asteroid, satellites of the planets, cosmic dust, and our solar system as a whole;
- Coordinate and sponsor scientific forums on lunar and planetary topics;
- Disseminate scientific information in the solar system sciences to the general public through various scientific educational and technical journals, conferences, and by other appropriate mechanisms;
- Strengthen cooperation between NASA and Universities;
- Conduct and support education and outreach that enhances the public appreciation of lunar and planetary science; and
- Promote university access to extraterrestrial samples controlled by NASA.

The institute will provide, organize, manage, and operate a LPI to promote studies relevant to the NASA Solar System Exploration Strategic objectives involving the national lunar and planetary science community.

2.2 NASA

The relationship between NASA and the institute must be mutually beneficial and synergistic so that it provides benefits and progress greater than either organization could achieve independently. NASA's primary role in the cooperative agreement will be to provide:

- Annual Institute Reviews;
- Long-term funding commitment;
- General strategic direction;

- Manage and conduct the Peer-Review research process and funded efforts, and
- Provide access to NASA facilities as appropriate to support and facilitate the lunar and planetary research conducted at the LPI.

The Solar System Exploration Division of the Office of Space Science at NASA Headquarters will lead the programmatic and strategic support for the LPI.

3.0 Institute Scenario

3.1 General Scope

NASA will continue operation of the Lunar and Planetary Institute (LPI) chosen through this CAN to promote state-of-the-art research and education related to NASA's mission.

NASA expects the institute to provide independent intellectual leadership in planetary science and shall be devoted to research and the provision of service to the scientific community and the public. A high priority activity of the institute will be to provide a forum for the exchange and development of ideas in lunar and planetary science. In order to fulfill its primary role of enabling lunar and planetary research, as a minimum, the institute's activities are expected to include the following:

- Conduct openly competed, peer-reviewed basic research in lunar and planetary science related to NASA's mission;
- Operate a NASA Regional Planetary Image Facility which contains, at least, 1000 sq. ft. of floor space to curate data and provide a facility for researchers and the public to examine and interact with data from planetary missions;
- Establish and maintain supporting programs for the planetary science community to participate in the conduct of lunar and planetary science and exploration research;
- Coordinate, manage, and host at LPI the Summer Intern Program for undergraduates in lunar and planetary science that annually includes at least 10 competitively selected participants;
- Coordinate and manage a Resident Postdoctoral Fellow Program for postdoctoral researchers in lunar and planetary science that annually includes at least four Postdoctoral Fellows;
- Disseminate scientific information in the lunar and planetary sciences and in activities related to the exploration of the Moon, Mars, and other bodies of the solar system;
- Coordinate and organize at least three 3-year focused topical projects (e. g., Basaltic Volcanism, Mars Volatile Evolution through Time) in lunar and planetary science to be identified by the NASA Solar System Exploration Division through its advisory working groups;

- Coordinate and manage a Visiting Senior Scientist program that supports at least four senior scientists to conduct openly competed peer-reviewed research in lunar and planetary sciences relevant to the Solar System Exploration Strategic Plan and other related activities at LPI for terms of 3 to 24 months;
- Sponsor, support, facilitate, and conduct a program of lunar and planetary education and public outreach activities directed towards precollege, college, graduate, and postgraduate education and toward enhancing all public appreciation of lunar and planetary science. Such activities may include, but are not limited too, education short courses and preparation and distribution of visual aids and other materials in support of educational and informational distribution activities;
- Conduct an annual Lunar and Planetary Science Conference each spring in coordination and cooperation with JSC;
- Support research management activities that include, but are not limited to, hosting meetings, reviews, and research activities of Science Working Groups, Management Operations Working Groups (Cosmochemistry, Planetary Geology and Geophysics, Origins of Solar Systems, Planetary Cartography, Planetary Instrument Definition and Development, Curation and Analysis Planning Team for Extraterrestrial Materials (CAPTEM)), and other committees that are necessary to meet the goals of the NASA Solar System Exploration Division;
- Establish a joint JSC/LPI working group to coordinate joint activities such as sample access issues and problems related to the individual extraterrestrial sample collections at JSC;
- Establish and maintain programs, as identified by NASA Solar System Exploration Division, that invite scientists, technologists, engineers, science students, educators, and others, as appropriate, to participate in the conduct of lunar and planetary science and exploration research and/or the communication of results of that research;
- Promote university access to extraterrestrial samples controlled by NASA.

In order to accomplish these activities, it is expected that the institute will be staffed with key scientific personnel who represent various areas of study across the lunar and planetary science community directly relevant to the scientific initiatives supported by LPI, with special emphasis placed on expertise in Astromaterials (Note: It will be of added value to the Government to have the institute directed by a scientist in a field of Lunar and Planetary Science directly related to the charter of LPI, who is recognized internationally for his or her scientific contributions).

3.2 NASA-funded Activities of the Institute

All work under this CAN will be subjected to the Peer Review process. Funding for the Lunar and Planetary Institute through this CAN is expected to be approximately **\$5.4 million/year**, contingent upon the availability of appropriated funds. **Proposals submitted above \$5.4 million/year annual funding will be considered nonresponsive to the solicitation and returned without review.** Funding will include support for core activities listed in section 3.1 and as examples include such items as Institute startup, salaries for key personnel, Institute

operations, education and outreach, and peer-reviewed intramural research by Institute researchers. NASA reserves the right to reduce or eliminate funding in the future if NASA program priorities change.

After the initiation of selected peer reviewed research to be conducted by the Institute through this CAN, periodic renewal of research will be done in one of two ways by submission of proposals directly to NASA's Solar System Exploration Division, outside the formal solicitation process. In addition to research done under core funding of the Institution, the Institution will be encouraged to compete for additional funding through an openly solicited NRA process.

3.3 Institutional Commitment and Additional Resources

NASA expects the Institute to also provide significant resources as part of the Cooperative Agreement. Even though NASA makes long-term funding commitments, the LPI, as an independent entity, is strongly encouraged to obtain funding support from other sources, including non-Governmental sources. The Institute may also compete for additional NASA funding through the Peer Review process for any of NASA's openly solicited research opportunities. This additional funding support shall be for purposes consistent with the Institute's overall mission.

3.4 Support of Education and Outreach

NASA envisions that the institute will be structured and operated in a manner which supports the country's educational initiatives and goals (including historically black colleges and universities and other minority universities), and in particular the need to promote scientific and technical education at all levels. NASA envisions that the institute will support its goals of public awareness and outreach to the general public. The LPI is invited to participate in NASA-funded educational programs.

3.5 Institute Performance Reviews

Because of the significant investment of time required to establish the relationships necessary for successfully carrying out the LPI functions, award is expected to be for five years with an option of an additional five years, for a total of 10 years. Continuation past the first year will be contingent upon the annual demonstration that the goals and activities of the institute (section 3.1) have been fully and successfully achieved and the availability of funds. Successful performance must be demonstrated each year through submission of a written annual report due 120 days in advance of each renewal date. The report should review progress and accomplishments for the previous year and contain a detailed plan and associated budget for the follow-on year for all activities, including education, outreach, and intramural research. Annual progress may also be monitored through periodic onsite visits by Solar System Exploration Division (SSED) personnel and other appropriate mechanisms established by SSED. Evaluation criteria for assessing performance will be the successful performance of all activities outlined in section 3.1, science performance and the quality of support of education and outreach, as well as a relevancy with respect to the Solar System Exploration Strategic Plan.

In the fourth year of operation, the LPI may submit a renewal proposal for continued NASA support which will undergo Peer Review. This review will include a comprehensive evaluation of the achievements and future plans and will determine if the LPI is meeting the goals and objectives as originally proposed. If the review is passed successfully, the LPI agreement will

be renewed for another 5-year period beyond the first 5-year period, for a total of 10 years of operation. If the institute does not pass fourth year renewal review, a phase out of activities will occur over the last year of the agreement.

4.0 Proposal Process

4.1 Authority

This notice will result in a cooperative agreement as defined in 31 U.S.C 6305 (the Chiles Act) and is entered into pursuant to the authority of 42 U.S.C. 2451, et seq. (the Space Act).

4.2 Eligibility

Participation in this program is open to domestic academic institutions or not-for-profit organizations, or a consortium of such entities. Historically Black Colleges and Universities (HBCU's) and other minority educational institutions are encouraged to apply. Since the recipient will be an educational institution or nonprofit organization, the provisions contained in Part 1260 of the NASA Grant and Cooperative Agreement Handbook apply (14 CFR Part 1260).

Only one cooperative agreement will be awarded as a result of this CAN. The cooperative agreement resulting from this announcement is intended to be for one year beginning late 2002, with multiyear award provisions for four additional years pending demonstration of satisfactory progress and availability of funding. In the fourth year of operation of the LPI, the awardee may submit a renewal proposal for continued support which will undergo Peer Review. This review will include a comprehensive evaluation of the achievements and future plans and will determine if LPI is meeting the goals and objectives as originally proposed. If the review is passed successfully, the LPI agreement will be renewed for another 5-year period beyond the first 5-year period for a total of 10 years of operation.

Point of Contact for questions regarding this CAN and the extent of NASA contribution as follows:

Before July 30, 2002

Mr. Joseph M. Boyce
Discipline Scientist
Solar System Exploration Division
Code SE
NASA Headquarters
Washington, DC 20546-0001
Telephone: 202-358-0203
FAX: 202-358-3097
Email: jboyce@hq.nasa.gov

After July 30, 2002

Dr. David Lindstrom
Discipline Scientist
Solar System Exploration Division
Code SE
Washington DC 20546-0001
Telephone: 202-3580311
FAX: 202-358-3097
E mail: dlinstr@hq.nasa.gov

4.3 Selection Process

Proposals will undergo full review by discipline and management specialists with expertise in the areas of the lunar and planetary science, as well as organization and management of research support institutions. Reviewers are selected through a process that avoids conflict of interest and protects proposal information. The findings of the review will be used by the NASA Solar System exploration Division to develop a recommendation for selection that will be presented along with the peer evaluations to the NASA Selecting Authority.

Selection will be made by NASA Headquarters. NASA will enter into a Cooperative Agreement with a single legal entity.

The Selection Authority for this program will be: **Director, Solar System Exploration Division, Office of Space Science**

4.4 Preproposal Conference

A Preproposal Conference concerning this CAN will be held on July 19, 2002 starting promptly at 10:00 A.M. until 12:00 noon in the Room MIC 5A, NASA Headquarters, Washington, DC. All individuals interested in this solicitation are invited and encouraged to attend, although participants may not use funds from any NASA award to attend and must make their own travel arrangements. The purpose of this Conference will be to address questions about the proposal process for this CAN, including a discussion of its evaluation criteria, the anticipated approach to the procurement of the selected proposals, and the plans for this program's efforts in Education and Public Outreach. The NASA personnel at this Conference will also answer those written questions that are received by NASA at least three days prior to the event; questions should be addressed to the Program Scientist as identified in Section 4.2. Additional questions submitted after this time, including those provided in writing at the Conference, will be addressed only as time permits. In all cases the anonymity of the authors of questions will be preserved, nor will NASA attempt to ascertain the identity of the Conference participants or their institutions. A transcript of this Conference, including answers to all questions addressed or submitted at the event itself, will be posted as part of this CAN's Library approximately two weeks after the Conference.

4.5 Notice of Intent (NOI)

In order to plan for a timely and efficient Peer Review process, lead institutions intending to submit a proposal should submit a Notice of Intent (NOI) through their sponsoring research office. NASA understands that the submission of an NOI is not a commitment to submit a proposal, nor is the information contained therein considered binding on the submitter.

The NOI, not to exceed 500 words should include: a title page, the name of the lead (and other participating institution(s)), names and affiliations of the proposed LPI director and associate directors, a brief summary of the vision of the LPI, a summary of the research plan and a brief statement regarding the relevance to NASA's strategic vision and any planned interactions.

NOIs should be submitted electronically to the NASA Peer Review Service (NPRS) internet database. First, proposers must login to obtain a username and password at the following web-address: <<http://proposals.hq.nasa.gov/>>

4.6 Resource Sharing/Institutional Commitment Requirements

For eligibility purposes, resource sharing/institutional commitment is encouraged for all proposals submitted in response to this solicitation. In general, commitment of critical resources that are offered at no cost to NASA's Solar System Exploration program clearly constitute institutional commitment. Proposals must demonstrate institutional commitment to the level of resource sharing proposed for the cooperative agreement establishing LPI. Accordingly, proposals must be signed by an official authorized to commit the university or consortium to the resource sharing proposed and include a positive statement of confirmation regarding resource sharing.

The term 'institutional commitment' is intended to include those aspects of the existing or proposed infrastructure that contributes or will contribute in a substantial way to the development of the field of lunar and planetary science. Examples include: training of undergraduates, graduates, and postgraduate researchers in lunar and planetary science; academic degree programs in lunar and planetary science; departments of and centers for lunar and planetary science, including permanent (e.g., tenured and/or tenure track, civil service, etc.) positions; offices, laboratories, other experimental facilities, and associated research groups that can be shown to be direct and substantive benefit to the institute and/or the proposed research program; and computational facilities for research in computational issues within the area of lunar and planetary science.

4.7 Solicitation/Award Schedule

Date	Action
7/1/02	Solicitation Issued
7/19/02	Preproposal Briefing
7/23/02	Notice of Intent Due
9/2/02	Proposals Due
9/30	Selection of Successful Proposal
11/1	Cooperative Agreement Awarded

4.8 Relevant Information

(a) Late Proposals

Proposals or proposal modifications received after the date specified for receipt of proposals may be considered if a significant reduction in cost to the Government is probable or if there are significant technical advantages, compared to proposals previously received.

(b) Withdrawal

Proposals may be withdrawn by the proposer at any time before award. Offerors are requested to notify NASA if the proposal is funded by another organization or of other changed circumstances that dictate termination of proposal.

(c) Selection for Award

- (1) When a proposal is not selected for award, the proposer will be notified.
- (2) When a proposal is selected for award, negotiation and award will be handled by the Procurement Office in the funding installation. The proposal will be used as the basis for negotiation. The Contracting Officer may request certain business data and may forward a model award instrument and other information pertinent to negotiation.

(d) Cancellation of CAN

NASA reserves the right to make no awards under this CAN and to cancel this CAN at any time up to selection. NASA assumes no liability for canceling the CAN or for anyone's failure to receive actual notice of cancellation.

5.0 Proposal Evaluation Criteria

The evaluation of proposals will be based on Technical Excellence, Quality of Management Approach, Quality of Key Personnel and Staffing Plan, and cost and cost realism. Technical Excellence is significantly more important than Quality of Management Approach, and the Quality of Key Personnel and Staffing Plan which are of equal weight. While still important, cost and cost realism proposal is still significantly less important than the Quality of Management Approach and Quality of Key Personnel and Staffing Plan. All factors will be evaluated by the same panel.

5.1 Technical Excellence

The following factors will be evaluated and assessed:

- How the proposed LPI will meet NASA's Lunar and Planetary strategic goals within the framework of NASA's overall goals as provided in the NASA Strategic Plan (further information about these goals can be found through the Office of Space Science homepage on the World Wide Web at <http://spacescience.nasa.gov>) through the support of the full scope of activities set forth in section 3.0, including peer reviewed scientific research;
- The research record in lunar and planetary science of the proposing organization(s) together with concepts proposed to support basic research and other activities to conduct and enable directed research studies;
- The offeror's plan to coordinate and sponsor scientific conferences (e.g., Lunar and Planetary Science Conference), forums, three 3-year focused science topical projects, evaluate scientific data, and disseminate relevant scientific information in the solar system sciences to the general public;

- The offeror's plan to meet NASA's goal of providing the widest practical participation by the scientific, educational, and technological communities in the overall activities of the LPI;
- The offeror's plan for the operation of a NASA Regional Planetary Image Facility that contains at least 1000 sq. ft. of floor space and will provide an academic atmosphere that serves as a focal point for lunar and planetary science activities, and as a forum to encourage participation of eminent scientists from the United States and other countries in solar system exploration program, to curate data and provide a facility for researchers and the public to examine and interact with data from planetary missions;
- The offeror's plan to provide access to the samples housed in the Curatorial Facility at the NASA Johnson Space Center (JSC), as well as access to analytical facilities of the JSC Laboratories;
- The offeror's plan to conduct a program of lunar and planetary education and outreach;
- The offeror's plan for the operation of the LPI Summer Interns program;
- The offeror's plan for the operation of the LPI Postdoctoral Fellows program;
- The offeror's plan for the operation of the LPI Visiting Senior Scientist program;
- The relevance, depth, and diversity of all resources potentially available to program management from the parent organization.

5.2 Quality of Proposed Key Personnel and Staffing

The competence, relevant experience, and commitment of key personnel (e.g., Director, Deputy Director, Senior Scientists, key support personnel) as an indication of their ability to perform the proposed tasks and to carry out those tasks to a successful conclusion will be evaluated. The evaluation will include the qualifications of personnel in key critical positions as shown by their education and training, experience, and demonstrated accomplishments in lunar and planetary science, including their commitment to this proposed activity. The offeror's understanding of the importance of positions considered critical to successfully performing the objectives of the institute by the key personnel will also be evaluated.

5.3 Quality of Management Approach

The quality of management approach should address concepts and approaches to establish and maintain the LPI, including innovative approaches to ensure success. In addition, the offeror should demonstrate the capability to adhere to sound business practices. Schedule and risk management will be evaluated. The quality of the management organization responsible for performing the effort and the matrix of authority and responsibility will be evaluated. The offeror's understanding of NASA's vision for the Lunar Planetary Institute as demonstrating insight, thoroughness, and emphasis on the critical aspects and overall soundness and compatibility with NASA's intent as given in this solicitation will be evaluated. The offeror's commitment to providing the maximum scientific and research value for the resources expended and the manner in which costs will be contained in fulfilling this commitment will be evaluated.

This will include the offeror's plan to provide its own resources as part of the cooperative agreement.

5.4 Cost and Cost Realism

Realism and reasonableness of proposed costs will be evaluated. Proposals will also be evaluated to ensure that proposed funding is in accordance with the NASA requirement that funding not exceed \$5.4 million/year.

6.0 **Proposal Format and Instructions to Offerors**

6.1 Proposal Format

See Appendix A for format guidelines, paying close attention to addressing the factors stated in section 3.0. Appendix C describes proposal submission.

6.2 Instructions to Offerors

Detailed information for preparing a proposal in response to this CAN is included in the following appendices:

- Appendix A: Proposal Preparation Instructions to Offerors
- Appendix B: Cost Proposal Instructions
- Appendix C: Cover page, etc. Submission Information
- Appendix D: Certifications and Assurances

Questions specifically about this solicitation should be sent by E-mail to jboyce@hq.nasa.gov before July 30, 2002 and after that date to dlindstr@hq.nasa.gov. Note: questions and answers will be accepted up to two weeks before the CAN proposals are due (see schedule in Section 4.7) and will be posted as addendums to this solicitation (anonymity of author preserved).

In conclusion, Lunar and Planetary Institute is an important part of NASA's programs. I look forward to its continued leadership in the study of the formation, evolution and current state of the planets, satellites and small solar system bodies, and its role as a focal point for solar system science.

Dr. Colleen N. Hartman
Director, Solar System Exploration Division
Office of Space Science

PROPOSAL PREPARATION INSTRUCTIONS TO OFFERORS

APPENDIX A

PROPOSAL SUBMISSION INFORMATION

Identifier: **CAN 02-OSS-01**

Submit Proposals to: Lunar and Planetary Institute
Office of Space Science
 NASA Peer Review Services
 Suite 200
 500 E Street, S.W.
 Washington, DC 20024

Telephone (202) 479-9030

Notice of Intent Due Date 7/24/2002

Proposal Due date: 9/4/2002

Number of Proposal Copies Required: 10 (including signed original)

The information contained in the following instructions is specific to this CAN and supplements the general guidance provided in the *Grants and Cooperative Agreement Handbook* that may be accessed at URL <<http://ec.msfc.nasa.gov/hq/grcover.htm>>.

GENERAL FORMAT

A proposal must be typewritten using an easily legible font no smaller than 11 point, single-spaced in single or double columns with no more than 55 lines per page, and on standard, single-sided, 8.5x11 inch paper with one inch margins all around. For those proposal parts having page limits, foldouts may be used on a one-to-one exchange basis (i.e., a two-page foldout counts as two pages, etc.). No material (except Proposal Forms) may be submitted on electronic media nor by reference to the World Wide Web. Metric units must be used.

PROPOSALS

(1) PROPOSAL COVER PAGE/PROPOSAL SUMMARY

See Appendix C.

It is NASA policy to use information contained in proposals for evaluation purposes only. While this policy does not require that the proposal bear a restrictive notice, offerors or quoters should, in order to maximize protection of trade secrets or other information that is commercial or financial and confidential or privileged, place the following Notice on an additional page that shall immediately follow the Cover Page/Proposal Summary of the proposal and specify the

information subject to the Notice by inserting appropriate identification, such as page numbers, in the Notice. In any event, information (data) contained in proposals will be protected to the extent permitted by law, but NASA assumes no liability for use and disclosure of information not made subject to the Notice.

Notice of Restriction on Use and Disclosure of Proposal Information

The information (data) contained in [insert page numbers or other identification] of this proposal constitutes a trade secret and/or information that is commercial or financial and confidential or privileged. It is furnished to the Government in confidence with the understanding that it will not, without permission of the offeror, be used or disclosed other than for evaluation purposes; provided, however, that in the event a contract (or other agreement) is awarded on the basis of this proposal, the Government shall have the right to use and disclose this information (data) to the extent provided in the contract (or other agreement). This restriction does not limit the Government's right to use or disclose this information (data) if obtained from another source without restriction.

(2) TABLE OF CONTENTS (1 – 2 pages)

The Table of Contents should provide reference to each major part and subpart of the proposal using the part numbers indicated in this Appendix.

(3) BODY (30 pages)

Technical Proposal

The technical portion of the proposal shall detail the proposed effort focused on the CAN objectives. The specific areas that should be addressed are listed in Section 5.1.

Provide a description of the scope and purpose of the program to demonstrate an understanding of NASA's vision of the Lunar and Planetary Institute and how the objectives set forth in Section 5.1 will be met.

Provide sufficient detail to fully describe the proposed effort in order to enable a reviewer to make informed judgments about the overall merit of the proposed Institute and about the probability that the Institute will be able to accomplish its stated objectives as set forth in section 5.1 with the resources requested and with their own resources. Clearly describe the proposed program: its rationale, innovation, distinguishing features, unifying intellectual focus, proposed research plan. Describe available facilities and any equipment required to be purchased in order to carry out the program of activities.

Sections 4 – 8 do not count towards 30 page limit of body of the proposal.

(4) QUALITY OF PROPOSED KEY PERSONNEL AND STAFFING

This part should contain the curriculum vitae of all key personnel who are proposed to manage and carry out the proposed Institute functions (not to exceed two pages for each senior individual.)

Discuss positions considered critical to successfully performing the objectives of the Lunar and Planetary Institute Program and explain the importance of each key position you determine to propose and why the proposed key personnel are qualified to carry out those positions. Education and outreach is an objective of LPI and shall be represented by one or more key positions. The offeror shall provide a resume and letter of commitment (for those individuals not currently in its employ) of each key person. Letters of commitment must include the date of availability, the salary accepted by the individual, how long the individual's commitment is binding, and be signed by the individual and an authorized official of the proposing organization.

(5) QUALITY OF MANAGEMENT APPROACH

The offeror's approach for management of the work, the recognition of essential management functions, risk management, and cost containment, and the overall integration of these functions in order to meet the goals should be set forth. A description of the management organization responsible for performing the effort and the matrix of authority and responsibilities should be provided. It should provide insight into the organization proposed for the work, including the internal operations and the lines of authority with delegations, together with outside interfaces and relationships with NASA, major subcontractors, and the science community. A description of how the offeror's management approach will support NASA's vision for the Lunar and Planetary Institute should also be included.

Provide a discussion of a start-up plan detailing the proposed approach to assume the full program responsibilities by October 25, 2002. This plan will cover the period from October 25, 2002, to September 30, 2006. Discuss the extent of involvement of NASA during the start-up period. (The recipient must assume full responsibility for the LPI Program by October 25, 2002.)

The proposed institutional commitment should also be summarized.

(6) COST AND COST REALISM

Cost and cost realism should be demonstrated through a cost plan. The cost plan must provide the indicated information in the categories as shown on the specified form (Proposal Cover Sheet) for the entire proposed period of performance, as well as for each year of the proposed work, not to exceed five years (see additional details in Appendix B).

The budget information for the cost plan should be sufficiently detailed to allow the Government to efficiently and effectively evaluate the reasonableness, allowability, and allocability of proposed costs. Each budget entry should be explained if unclear.

A discussion that provides a detailed list of all resources potentially available to enhance meeting the objectives of the LPI Program should be included. This would include existing programs and activities that could be leveraged, including equipment, facilities, materials, or services. Indicate the degree of commitment/availability of these other resources to LPI.

(7) CERTIFICATIONS

Accepted by signing the proposal cover sheet. The following certifications (i) Regarding Debarment, Suspension, And Other Responsibility Matters, and (ii) Regarding Lobbying are required of all U.S. applicants before a cooperative agreement can be awarded (see Appendix D).

(8) GUIDELINES FOR INTERNATIONAL PARTICIPATION

Because the goals of the Lunar and Planetary Institute are centered on providing support for the U.S. science community and NASA, proposals will be accepted only from U.S. organizations and institutions. Non-U.S. participation is not solicited by this CAN.

APPENDIX B COST PROPOSAL INSTRUCTIONS

B.1 Cost Proposal

The cost portion of the proposals shall contain cost and technical parts in one volume. This section contains a model format for a yearly Budget Summary and line-by-line instructions.

- (i) Do not use separate "confidential" salary pages. As applicable, include separate cost estimates for salaries and wages; fringe benefits; equipment; expendable materials and supplies; services; domestic and foreign travel; ADP expenses; publication or page charges; consultants; subcontracts; other miscellaneous identifiable direct costs, and indirect costs. List salaries and wages in appropriate organizational categories (e.g., principal investigator, other scientific and engineering professionals, graduate students, research assistants, and technicians and other non-professional personnel). Estimate all staffing data in terms of staff-months or fractions of full-time.
- (ii) Explanatory notes should accompany the cost proposal to provide identification and estimated cost of major capital equipment items to be acquired; purpose and estimated number and lengths of trips planned; basis for indirect cost computation (including date of most recent negotiation and cognizant agency); and clarification of other items in the cost proposal that are not self-evident. List estimated expenses as yearly requirements by major work phases.
- (iii) Allowable costs are governed by FAR Part 31 and the NASA FAR Supplement Part 1831 (and OMB Circulars A-21 for educational institutions and A-122 for nonprofit organizations).
- (iv) Use of NASA funds—NASA funding may not be used for foreign research efforts at any level, whether as a collaborator or a subcontract. The direct purchase of supplies and/or services, which do not constitute research, from non-U.S. sources by U.S. award recipients is permitted.
- (v) Pursuant to section 1260.4(b) of NPG 5800.1, no fee is payable to commercial entities that win an award under this CAN.

If proposals involve collaborations with other institutions that require funding support, the budget total of each participating institution shall be listed under category "3.a. Subcontracts" in the Proposal Budget Summary. Details of the budgets of such participating institutions shall be provided separately.

For purposes of preparing a cost proposal, estimate the Cooperative Agreement would begin November 2002.

B.2 Budget Summary Line-By-Line Instructions

For each year of proposed work, complete a Budget Summary Sheet containing items 1 through 6 as detailed below. In the first column, complete line-by-line instructions below for budget requested from NASA. In the second column, similarly enter the amount of cost sharing proposed, if any. The third column should contain the total annual project budget, and the fourth column the project budget cumulative total. Provide a Budget Summary for each of the five years. Provide in attachments to the budget summary the detailed computations of estimates in each cost category, along with any narrative explanation required to fully explain proposed costs.

1. Direct Labor (salaries, wages and fringe benefits): Attachments should list number and titles of personnel, amount of time to be devoted to the effort and hourly rates of pay.

2. Total Direct Labor Hours: Show total number of estimated labor hours required accomplishing the task.

3. Other Direct Costs:

a. Subcontractors - Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting this effort.

b. Consultants - Identify consultants to be used, why they are necessary, time to be spent on the project, and rates of pay.

c. Equipment - List separately and explain the need for items of equipment exceeding \$1,000. Describe the basis for the estimated cost.

d. Supplies - Provide general categories of needed supplies, the method of acquisition, estimated cost, and the basis for the estimate.

e. Travel - List proposed trips individually, describe their purpose in relation to the grant, provide dates, destination, and number of travelers where known, and explain how the cost for each was derived.

f. Other - Enter the total of any other direct costs not covered by 3a through 3e. Attach an itemized list explaining the need for each item category and the basis for the estimate.

4. Indirect Costs: Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. If unproved rates are used, explain why and include the computational basis for the indirect expense pool and corresponding allocation base for each rate. Provide the name, address, and telephone number of the Federal agency and official having cognizance over such matters.

5. Other Applicable Costs: Enter the total of any other applicable costs. Attach an itemized list explaining the need for each item and the basis for the estimate.

6. Total Estimated Costs: Enter the sum of items 1, 3.a through 3.f, 4, and 5.

APPENDIX C

Preparation and Submission of the Proposal Cover Page/Proposal Summary

NASA Peer Review Services (NPRS) utilizes an electronic, internet-based system of collecting Notice of Intent (NOI) and Proposal submission information for all proposals submitted in response to all types of NASA Research Announcement. The following instructions describe the process in greater detail.

Data Base Home-page: <http://proposals.hq.nasa.gov>

A username and a password is required to submit Proposal information through <http://proposals.hq.nasa.gov>

To check whether you are already in the system, please go to <http://proposals.hq.nasa.gov/forgotpassword/forgotlogin.cfm>

and type in your first and last name to search the database.

- If you see your name listed in the result set, please select the appropriate radio button and click on continue. This will trigger the system to send an automatic E-mail message with your username and password to your E-mail address listed in the database.
- If your name does not show up on the resultant set, please choose the radio button named "None of the Above" and click on continue. This will allow you to add yourself as a NEW USER to the system. The system will prompt you to choose a username and a password towards the end of the new user addition procedure. This username and password combination allows you to access the system and submit NOI's and Proposal Summaries.

How to submit Proposal Form Information:

- Visit <http://proposals.hq.nasa.gov/>
- On the left hand side, in the Proposal Links Section click on "Login."
- Input your user id and password and click on "continue"
- To submit a New Proposal Summary click New Proposal Cover Page option from the Options screen and the New Proposals Cover Page screen will appear.
- Click on New Proposal Cover Page option, and the Division Specific Opportunities screen will appear.
- In the selection window: highlight "OSS-Solar System Exploration" and click on "continue."
- Click on **CAN 02-OSS-01 NASA Lunar and Planetary Institute CAN**, and then click on Continue.

- This will bring you to the Proposal Cover Page Form
- Fill in all the fields, and select a theme from the pop-up lists. All fields are required.
- Click Continue. Next is the Team Member Page screen, where you can add or remove a team member. "Authorizing Official" and "Contact in case of award" are required to be added to the list. Please add any COI's or points of contact from other participating organizations (the latter should be added under the ROLE Collaborator). To add a team member: Highlight the Team Member ROLE on the selection list and type in first and last name and click on search. When the result set appear, choose the appropriate radio button and click on ADD to add the team member to this proposal. You can repeat this process to add multiple team members. After you are done, click on "Continue". If the team member is not listed in our database, please have them add themselves as a new user to the system.
- Next is the Proposal Options Page.
- Please fill out the budget form by clicking on the "**Budget**" button, filling in project costs, and clicking "Continue." This will bring you to the Proposal Budget Review Page. Click Continue once the information is correct.
- At the next screen click the **Show/Print** button.
- At the Page entitled "**Proposal Information Item List**" click **Show** to preview your **Proposal Cover Page**. Print the cover page once you have reviewed the information. The cover page must be signed by both the Principal Investigator and the authorizing official and attached to the front of your proposal before submission of hard copies to NASA.

Appendix D

Certifications and Assurances

D.1.1 *Background*

There are currently two Certifications and one Assurance required as part of any proposal from every institution, except U.S. Federal institutions, that respond to a Federal research solicitation as given in Sections E.1.2 through E.1.4 below. In order to reduce paper work required by the submitting institutions, the “Certification of Compliance...,” reproduced directly below, is now included at the top of the printout of the Proposal Cover Page that affirms that these requirements are met by the proposing institution once the printed version of the Cover Page is signed by the Authorizing Official of the proposing institution (or by the individual proposer if there is no proposing institution) and submitted with the proposal. Therefore, the Certifications and Assurance reproduced in sections E.1.2 through E.1.4 are included in this Guidebook only for reference and information; they should not be submitted with the proposal.

Certification of Compliance with Applicable Executive Orders and U.S. Code

By submitting the proposal identified in the Cover Sheet/Proposal Summary in response to this Research Announcement, the Authorizing Official of the proposing institution (or the individual proposer if there is no proposing institution) as identified below:

- certifies that the statements made in this proposal are true and complete to the best of his/her knowledge;
- agrees to accept the obligations to comply with NASA award terms and conditions if an award is made as a result of this proposal; and
- confirms compliance with all provisions, rules, and stipulations set forth in the two Certifications and one Assurance contained in this NRA (namely, (i) the Assurance of Compliance with the NASA Regulations Pursuant to Nondiscrimination in Federally Assisted Programs, and (ii) Certifications, Disclosures, and Assurances Regarding Lobbying and Debarment & Suspension).

Willful provision of false information in this proposal and/or its supporting documents, or in reports required under an ensuing award, is a criminal offense (U.S. Code, Title 18, Section 1001).

In addition, proposers should be aware that NRA's released by some NASA program offices will require additional, specialized certifications (for example, concerning the impact of proposed research that includes environmental, human, or animal care provisions, or other topics required by statute, Executive Order, or Government policies) that will need to be individually reproduced from the NRA, signed, and submitted with a proposal. If such cases, they will be provided in the individual NRA's.

D.1.2 *Assurance of Compliance with the National Aeronautics and Space Administration Regulations Pursuant to Nondiscrimination in Federally Assisted Programs*

The Institution, corporation, firm, or other organization on whose behalf this assurance is signed, hereinafter called "Applicant"

HEREBY AGREES THAT it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352), Title IX of the Education Amendments of 1972 (20U.S.C. 1680 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and the Age Discrimination Act of 1975 (42 U.S.C. 16101 et seq.) and all requirements imposed by or pursuant to the Regulation of the National Aeronautics and Space Administration (14 CFR Part 1250)(hereinafter called "NASA") issued pursuant to these laws, to the end that in accordance with these laws and regulations, no person in the United States shall, on the basis of race, color, national origin, sex, handicapped condition, or age be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives federal financial assistance from NASA; and HEREBY GIVES ASSURANCE THAT it will immediately take any measure necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by NASA, this assurance shall obligate the Applicant, or in the case of any transfer of which federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the federal financial assistance is extended to it by NASA.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contract, property, discounts or other federal financial assistance extended after the date hereof to the Applicant by NASA, including installation payments after such date on account of applications for federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign on behalf of the Applicant.

D1.3 Certification Regarding Lobbying

No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

D.1.4 Certification Regarding Debarment, Suspension, and Other Responsibility Matters

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 14 CFR, Part 1265, Participant's responsibilities,. published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; – Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.